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DOE F 5839.3
(12-93)
(Formerly DOE F 5839.13)
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OMB Control No.
1910-1800

U.S. DEPARTMENT OF ENERGY
REPORT OF SECURITY INCIDENT/INFRACTION

OMB BURDEN DISCLOSURE STATEMENT

Public reporting burden for this collection of information is estimated to average 25 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Office of Information Resources Management Policy, Plans, and Oversight, Records Management Division, HR-422 - GTN, Paperwork Reduction Project (1910-1800), U.S. Department of Energy, 1000 Independence Avenue, S.W., Washington, DC 20585; and to the Office of Management and Budget (OMB), Paperwork Reduction Project (1910-1800), Washington, DC 20503.

Part I - NOTIFICATION OF SECURITY INCIDENT

Part I. To be completed by the Security Office conducting the preliminary inquiry.

1. Organization in which incident occurred:
Oak Ridge National Laboratory

2. Date of incident:

11/09/2005

3. Nature of incident:

Shipper-Receiver different or inventory difference involving a gain in the number of items for which the additional items total to a Category III or IV quantity of special nuclear materials (SNM). IMI 4-4.

4. Classification level of information involved:

Confidential ☐
Secret ☐
Top Secret ☐

5. Category of information involved:

Restricted Data ☐
Formerly Restricted Data ☐
National Security Information ☐

6. Identify other caveats of information involved:

7. Details of incident:

Material Balance Area (MBA) representative (Doug Lee) reported a discrepancy in the book value of an item previously received from MBA 006. The original book value had been determined by MBA 070 personnel. MBA 006 had served as a storage area for the item. Personnel from ORNL's NMC&A and MBA 070 and MBA 165 are reviewing documentation to determine accurate value and cause of discrepancy.

The discrepancy has been resolved. Proper NMC&A accountability documentation has been input into the system. Accountability book values on the NMC&A books and MBA books are correct. No further action is required.

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May be exempt from public release under the
Freedom of Information Act (5 U.S.C. 552),
exemption number and category: 1/2

Department of Energy review required before public release.

Name/Org: JAMIE JOHNSON Date: 1/25/05

Guidance (if applicable):

8. Name, title, and organization of the individual reporting the security incident:

Jamie M. Johnson, CMPC Officer
Oak Ridge National Laboratory

9. Signature:

Jm Johnson

10. Date:

01/25/2005

PRIVACY ACT STATEMENT ON REVERSE



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DOE F 471.1
(04-99)~~CONFIDENTIAL~~
(Classification)OMB Control Number
1510-1006

OMB Burden Disclosure Statement
Public reporting burden for this collection of information is estimated to average 10 (minutes) per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this estimate of any other aspect of this information, including suggestions for reducing this burden, to Information, Records, and Resource Management, M.A.-11-GTN, Paperwork Reduction Project (1810-1300), U.S. Department of Energy, Washington, DC 20475-1290; and to the Office of Management and Budget (OMB), Paperwork Reduction Project (1910-1800), Washington, DC 20503.

UNITED STATES DEPARTMENT OF ENERGY
OFFICE OF SAFEGUARDS AND SECURITY

04-IDC-0577-06

Security Incident Notification Report (u)

(u) Date/Time of Incident Discovery: April 8, 2004 1:30 p.m.(u) Classification Level: TOP SECRET ☐ SECRET ☒ CONFIDENTIAL ☐(u) Category of Information Involved: RD ☐ FRD ☐ NSI ☒Applicable Identifier(s): WD ☐ WFO ☐ SAP ☐ FGI ☐ CGA ☐(u) Facility/Location of Incident: OAK RIDGE NATIONAL LABORATORY

(u) Form(s) of the Information Involved:

Magnetic Media ☐Internet ☐Discussion ☐Facsimile ☐Hard Copy ☒Visual ☐Multimedia ☐E-Mail ☐Other ☐

Brief Description of the Incident:

(u) RECEIVED PARTIALLY OPENED, CLASSIFIED PACKAGE FROM DOE
OFFICE OF INTELLIGENCE (u) POTENTIAL UNAUTHORIZED DISCLOSURE (IMI-2, 6)
PACKAGE SECURED.

(u) Point of Contact: Mike Aaron

(865) 574-8952

(865) 241-4857

Name

Telephone Number

Secure Fax Number

Classified by: Daniel R. HammClassification changed by: (u) (level and category)Derived from: OSI report via the Information Security Incident Hotline at (202) 506-8116. (Classified phone & fax)By authority of: (u) (level and category)Declassify on: Completion of inquiryDate: 11-3-05

(Classification)

Signature (first reviewer)

Signature (final reviewer)

Date

04-IOSC-0577-06

April 12, 2004

Oak Ridge National Laboratory

After further inquiry it has been determined an authorized disclosure did not occur as was reported on April 8, 2004, by Oak Ridge National Laboratory (0577).

A package arrived at ORNL intact from IN-1. The package was properly wrapped and was addressed to ORNL's classified mailing address. However, the package was sent via FedEx. ORNL does not yet have approval to ship overnight and no approved overnight address is listed in SSIMS.

Upon delivery of FedEx packages at ORNL's Receiving Department, they are sorted and bar coded with delivery information. With the address being so generic on this particular package, the receiving secretary, Marie Stooksbury (uncleared employee), split the left-hand side of the package looking for an invoice or shipping notice. All that was viewable was plain white paper. Stooksbury then contacted the sender listed on the FedEx label, Jacqueline Parks, trying to obtain more accurate delivery information. Parks gave her the name of Mike Aaron. Aaron is a member of the Office of Technical Information and Classification staff, and the correct delivery point for classified mail. Stooksbury wrote Aaron's building and room number on the box and re-taped the side she had cut.

The package was delivered to Aaron. He obviously noticed the package had been opened and consulted with Hamrin, Logan, and Thomas (ORNL security personnel) as to the next step to take. Logan photographed the condition of the box in several phases of unwrap. The box contained a combination of unclassified and classified documents. In the original wrapping of the box at IN-1, the contents were upside down. When Stooksbury cut into the package the only thing visible was the back page of an unclassified document. The package did not contain unique information.

After additional consultation with ORO's Pat Howard, a determination was made to report this as an IMI-2-6. The 471.1 was faxed to the EOC -3:50 on 4/8/04.

This summary concludes that an unauthorized disclosure did not occur; however, it is considered a near miss.

As a corrective action Jon Kreykes, Department Head, National Security Advanced Technologies Office, will contact IN to remind them that we don't have an approved channel for overnight.

This is the final inquiry report for 04-IOSC-0577-06.



Jamie Johnson

Inquiry Officer

Oak Ridge National Laboratory

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OMB Control No.
1810-1800

U.S. DEPARTMENT OF ENERGY

REPORT OF SECURITY INCIDENT/INFRACTION

OMB BURDEN DISCLOSURE STATEMENT

Public reporting burden for this collection of information is estimated to average 25 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Office of Information Resources Management Policy, Plans, and Oversight, Records Management Division, HR-422 - GTN, Paperwork Reduction Project (1810-1800), U.S. Department of Energy, 1000 Independence Avenue, S.W., Washington, DC 20585; and to the Office of Management and Budget (OMB), Paperwork Reduction Project (1810-1800), Washington, DC 20503.

Part I - NOTIFICATION OF SECURITY INCIDENT

Part I. To be completed by the Security Office conducting the preliminary inquiry.

1. Organization in which incident occurred:
Isotek Systems, LLC

2. Date of incident:

11/02/2004

3. Nature of incident:

UCNI information in an unlocked office.

4. Classification level of information involved:

Confidential ☐
Secret ☐
Top Secret ☐

5. Category of information involved:

Restricted Data ☐
Formerly Restricted Data ☐
National Security Information ☐

6. Identify other caveats of information involved:

UCNI

7. Details of incident:

When reporting to work, employee (Hontas Bailey) found office containing UCNI documents unsecured. Compromise of the information is unlikely as the materials were not in plain view. However contract office cleaners were in the Isotek offices after work on the date of the incident. Meets IMI-4-5 criteria of suspected unauthorized disclosure of UCNI.

Interviewed employee and learned that she had forgotten to lock the office door upon leaving for the day. Discussed need for diligence in protecting UCNI. Employee reviewed Isotek Procedure, Handling Sensitive Unclassified Information, ISO-SEC-002. Posted self-reminder next to wall switch to prompt locking the door.

This is being reported through ORNL as per agreement with Isotek.

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~~May be exempt from public release under the Freedom of Information Act (5 U.S.C. 552), exemption number and category: X2~~

~~Department of Energy review required before public release.~~

~~Name/Org: JAMIE JOHNSON Date: 1/25/05~~

~~Guidance (if applicable)~~

8. Name, title, and organization of the individual reporting the security incident:

Jamie M. Johnson, CMPC Officer
Oak Ridge National Laboratory

9. Signature:

JM Johnson

10. Date:

01/25/2005

PRIVACY ACT STATEMENT ON REVERSE



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U.S. DEPARTMENT OF ENERGY
REPORT OF SECURITY INCIDENT/INFRACTION

OMB Control No.
2010-1700

OMB BURDEN DISCLOSURE STATEMENT

Public reporting burden for this collection of information is estimated to average 25 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Office of Information Resources Management Policy, Plans, and Oversight, Records Management Division, HR-422 - GTN, Paperwork Reduction Project (1910-1800), U.S. Department of Energy, 1000 Independence Avenue, S.W., Washington, DC 20585; and to the Office of Management and Budget (OMB), Paperwork Reduction Project (1910-1800), Washington, DC 20503.

Part I - NOTIFICATION OF SECURITY INCIDENT

Part I. To be completed by the Security Office conducting the preliminary inquiry.

1. Organization in which incident occurred:
Oak Ridge National Laboratory

2. Date of incident:

09/21/2005

3. Nature of incident:

Shipper-Receiver different or inventory difference involving a gain in the number of items for which the additional items total to a Category III or IV quantity of special nuclear materials (SNM). IMI 4-4.

4. Classification level of information involved:

Confidential ☐
Secret ☐
Top Secret ☐

5. Category of information involved:

Restricted Data ☐
Formerly Restricted Data ☐
National Security Information ☐

6. Identify other caveats of information involved:

7. Details of incident:

The Bldg. 3525 (IFEL) hot cells functioned in a Spent Nuclear Fuel reopening and repackaging effort between 1996 and 2003. Original "packages" that had been consigned for decades to the ORNL SWSA-5 burial grounds were retrieved, moved to the hot cells, and opened. The contents were compared for consistency with the original disposition records and then repackaged into new containers for collective shipment to INEL. Overall there were a hundred plus SNF packages, most with multi-hundred gram fissile element content.

The IFEL has recently been processing for disposal the accumulated scrap materials from this effort, in particular the emptied internal containers. A number of small tubes still holding fuel items (mainly HTGR-type fuel compacts) were found. Based on external markings it is believed these items represent a fissile content of about 10g U-235, 4 g U-233, and 100g TH-232. However the in-cell scrap materials are extensive and are still being sorted. It is anticipated that it will take a number of months to work through this material and it is possible that a small amount of additional material may be found.

It is believed at the time materials were shipped that all the fuel in question had been repackaged so the MBA 025 fissile inventory was cleared of the items. We are currently reviewing all pertinent information to obtain the best estimate of the amount of material that was inadvertently left behind so it can be added back to the MBA inventory.

8. Name, title, and organization of the individual reporting the security incident

Jamie M. Johnson, CMPC Officer
Oak Ridge National Laboratory

9. Signature:

Jamie Johnson

10. Date:

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10/16/2005

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Department of Energy review required before public release

Name/Org: JAMIE JOHNSON

Date: 10/17/05

Guidance (if applicable):

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(12-93)
(Formerly DOE F 5530.13)
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OMB Control No.
1010-1800

U.S. DEPARTMENT OF ENERGY
REPORT OF SECURITY INCIDENT/INFRACTION

OMB BURDEN DISCLOSURE STATEMENT

Public reporting burden for this collection of information is estimated to average 25 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Office of Information Resources Management Policy, Plans, and Oversight, Records Management Division, HR-422 - GTN, Paperwork Reduction Project (1910-1800), U.S. Department of Energy, 1000 Independence Avenue, S.W., Washington, DC 20585; and to the Office of Management and Budget (OMB), Paperwork Reduction Project (1910-1800), Washington, DC 20503.

Part I - NOTIFICATION OF SECURITY INCIDENT

Part I. To be completed by the Security Office conducting the preliminary inquiry.

1. Organization in which incident occurred:
Oak Ridge National Laboratory

2. Date of incident:

11/08/2005

3. Nature of incident:

Shipper-Receiver different or inventory difference involving a gain in the number of items for which the additional items total to a Category III or IV quantity of special nuclear materials (SNM). IMI 4-4.

4. Classification level of information involved:

Confidential ☐
Secret ☐
Top Secret ☐

5. Category of information involved:

Restricted Data ☐
Formerly Restricted Data ☐
National Security Information ☐

6. Identify other caveats of information involved:

7. Details of incident:

On 11/08/2004, John Gibson of MBA 125, Building 5505 notified NMC&A of the discovery of 15 small samples bottles containing small quantities of Enriched Uranium Oxides. Bottles had been in the 5505 Area since the early 1990's. The MBA Representative was unaware of the samples at the time of discovery. NMC&A and the MBA Representative are searching for historical data of the samples and will be determining plan of action to ensure accountable material will be added to the NMC&A books.

The status on this is pending. An action plan has been determined. MBA 125 personnel are working with New Brunswick Laboratory (NBL) personnel to obtain standards to be used in measuring found samples. The standard will be received by March 2005. NBL is currently in stand-down mode. The results will be reviewed and a determination of whether the material is an NMC&A accountable quantity will be made.

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~~May be exempt from public release under the Freedom of Information Act (5 U.S.C. 552), exemption number and category: 82~~

~~Department of Energy review required before public release.~~

~~Name/Org: JAMIE JOHNSON~~

~~10. Date:
Grace (if applicable)~~

8. Name, title, and organization of the individual reporting the security incident:

Jamie M. Johnson, CMPC Officer
Oak Ridge National Laboratory

9. Signature:

JM Johnson

01/25/2005

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